

| | | |
|--|----------------------------------|------------|
| Form PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | Atty Docket No. | Serial No. |
| | HORA.P0102US | 10/762,008 |
| | Applicant: Dieter Grob et al. | |
| | Filing Date | Group |
| | January 1, 2004 | UNKNOWN |

U.S. PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Name | Class | Sub-class | Filing Date if Appropriate |
|------------------|--------------------|---------|--------------|-------|-----------|----------------------------|
| <i>md</i> | Re. 36,758 | 06/2000 | Fitz | | | |
| <i>md</i> | US 2003/0187454 A1 | 10/2003 | Gill et al. | | | |
| <i>md</i> | US 2002/0065557 A1 | 05/2002 | Goble et al. | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Country | Class | Sub-class | Translation | |
|------------------|-----------------|---------|---------|-------|-----------|-------------|----|
| | | | | | | Yes | No |
| <i>md</i> | WO 03/101350 AW | 12/2003 | WO | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

OTHER ART

| Examiner Initial | Author, Title, Date, Pertinent Pages, etc. |
|------------------|--|
| | |
| | |
| | |
| | |
| | |

| | |
|--------------------------|-------------------------------|
| EXAMINER <i>Mary Ann</i> | DATE CONSIDERED <i>2/3/04</i> |
|--------------------------|-------------------------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

M:\VHORA\PO102US\IDS\PO102US.IDS.V.wpd (IDS1449.FRM) (2/97)

| | | |
|---|---|---------------------------------|
| Form PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | Atty Docket No. HORA.P0102US | Serial No. 10/762,008 |
| | Applicant: Dieter Grob et al. | |
| | Filing Date January 1, 2004 | Group UNKNOWN |

U.S. PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Name | Class | Sub-class | Filing Date if Appropriate |
|------------------|-----------------|------|------|-------|-----------|----------------------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Country | Class | Sub-class | Translation | |
|------------------|-----------------|------|---------|-------|-----------|-------------|----|
| | | | | | | Yes | No |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

OTHER ART

| Examiner Initial | Author, Title, Date, Pertinent Pages, etc. |
|------------------|---|
| <i>md</i> | Dudley, Hugh A.F., ed., Carter, David C., ed. and Russell, R.C.G., ed., "Spinal Injuries," Rod & Smith's Operative Surgery - Orthopaedics Part 1 , London: Butterworth-Heinemann, 1991, pg. 641. |
| | |
| | |
| | |
| | |

| | |
|-------------------------------------|-------------------------------|
| EXAMINER <i>Mary H. [Signature]</i> | DATE CONSIDERED <i>2/3/06</i> |
|-------------------------------------|-------------------------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.
 R:\Johnson\HORA\PO102US\IDS\PO102US.IDS.III.wpd (IDS1449.FRM) (2/97)



| | | |
|---|---|---------------------------------|
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | Atty Docket No. HORA.P0102US | Serial No. 10/762,008 |
| | Applicant: Dieter Grob et al. | |
| | Filing Date January 1, 2004 | Group UNKNOWN |

U.S. PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Name | Class | Sub-class | Filing Date if Appropriate |
|------------------|--------------------|----------|------------------|-------|-----------|----------------------------|
| <i>ML</i> | Re. 36,758 | 06/27/00 | Fitz | | | |
| | US 2003/0004572 A1 | 01/02/03 | Goble et al. | | | |
| | 3,879,767 | 04/29/75 | Stubstad | | | |
| | 4,001,896 | 01/11/77 | Arkangel | | | |
| | 4,085,466 | 04/24/78 | Goodfellow | | | |
| | 4,502,161 | 03/05/85 | Wall | | | |
| | 4,714,469 | 12/22/87 | Kenna | | | |
| | 5,127,912 | 06/07/92 | Ray et al. | | | |
| | 5,360,431 | 11/01/94 | Puno et al. | | | |
| | 5,527,314 | 06/18/96 | Brumfield et al. | | | |
| | 5,571,191 | 11/05/96 | Fitz | | | |
| | 5,591,165 | 01/07/97 | Jackson | | | |
| | 6,014,588 | 01/11/00 | Fitz | | | |
| | 6,132,464 | 10/17/00 | Martin | | | |
| | 6,565,605 | 05/20/03 | Goble et al. | | | |
| | 6,579,319 | 06/17/03 | Goble et al. | | | |
| <i>ML</i> | 6,610,091 | 08/26/03 | Reiley | | | |
| | 6,810,567 | 11/02/04 | Reiley | | | |
| | | | | | | |
| | | | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Country | Class | Sub-class | Translation | |
|------------------|-----------------|------|---------|-------|-----------|-------------|----|
| | | | | | | Yes | No |
| | | | | | | | |
| | | | | | | | |

OTHER ART

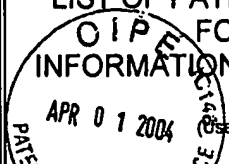
| Examiner Initial | Author, Title, Date, Pertinent Pages, etc. |
|------------------|--|
| | |
| | |

| | |
|------------------------------|-------------------------------|
| EXAMINER <i>Mary Hoffman</i> | DATE CONSIDERED <i>2/3/05</i> |
|------------------------------|-------------------------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.
R:\Johnson\HORA\PO102US\IDS\PO102US.IDS.IL.wpd (IDS1449.FRM) (2/97)

| | | |
|---|----------------------------------|--------------------------|
| Form PTO-1449 (Modified) | Atty Docket No. HORA.P0102US | Serial No. 10/762,008 |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary) | Applicant: Dieter Grob et al. | |
| | Filing Date January 21, 2004 | Group UNKNOWN |

U.S. PATENT DOCUMENTS

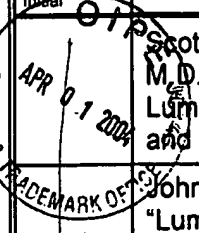
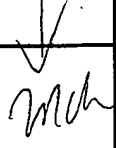
| Examiner Initial | Document Number | Date | Name | Class | Sub-class | Filing Date if Appropriate |
|------------------|--------------------|----------|---------------|-------|-----------|----------------------------|
| <i>md</i> | US 2002/0123806 A1 | 09/05/02 | Reiley | | | |
| | US 2003/0028250 A1 | 02/06/03 | Reiley et al. | | | |
| | 5,571,191 | 11/05/96 | Fitz | | | |
| <i>ma</i> | 6,132,464 | 10/17/00 | Martin | | | |


FOREIGN PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Country | Class | Sub-class | Translation | |
|------------------|-----------------|------|---------|-------|-----------|-------------|----|
| | | | | | | Yes | No |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

OTHER ART

| Examiner Initial | Author, Title, Date, Pertinent Pages, etc. |
|------------------|---|
| <i>md</i> | CHIU, J.C., DAVIS, G.W., CLIFFORD, T., AND GREENSPAN M. Translaminar Facet Screw Fixation [retrieved on 05/27/2003]. Retrieved from the Internet: < http://www.spinecenter.com/papers/facet/facet.htm > |
| | Nabil A. Ebraheim, Rongming Xu, Eric Challengren, and Richard A. Yeasting, Journal of Spinal Disorders, "Quantitative Anatomy of the Cervical Facet and the Posterior Projection of Its Inferior Facet," Vol. 10, No. 4, pp. 308-316, 1997 |
| | Jan P.J. van Schaik and Bart van Pinxteren, Journal of Spinal Disorders, "Curvature of the Lower Lumbar Facet Joints: Variations at Different Levels and Relationship with Orientation," Vol. 12, No. 4, pp. 341-347, 1999 |
| | Jike Lu, M.D., Nabil A. Ebraheim, M.D., and Richard A. Yeasting, PhD, The American Journal of Orthopedics, "Translaminar Facet Screw Placement: an Anatomic Study," pp. 550-555, August, 1999 |
| <i>7</i> | Nabil A. Ebraheim, M.D., Rongming Xu, M.D., Huhammad Ahmad, M.D. and Richard A. Yeasting, PhD, "The Quantitative Anatomy of the Thoracic Facet and the Posterior Projection of Its Inferior Facet," SPINE Volume 22, Number 16, pp. 1811-1818, 1997 |
| | Manohar M. Panjabi, PhD, Thomas Oxland, MASc, Koichiro Takata, M.D., Vijay Goel, PhD, Joanne Duranceau, M.S. and Martin Krag, M.D., "Articular Facets of the Human Spine, Quantitative Three-Dimensional Anatomy," Spine Volume 18, Number 10, pp. 1298-1310, 1993 |

| | |
|---|---|
| Examiner Initial | Author, Title, Date, Pertinent Pages, etc. |
|  | Scott D. Boden, M.D., K. Daniel Riew, M.D., Ken Yamaguchi, M.D., Thomas P. Branch, M.D., Dieter Schellinger, M.D., and Sam W. Wiesel, Atlanta Georgia, "Orientation of the Lumbar Facet Joints: Association with Degenerative Disc Disease," The Journal of Bone and Joint Surgery, Inc., Vol. 78-A, No. 3, March, 1996 |
|  | John M Cavanaugh, A. Cuneyt Ozaktay, H. Toshihiko Yamashita, and Albert I. King, "Lumbar Facet Pain: Biomechanics Neuroanatomy and Neurophysiology," Survey Article, J. Biomechanics, Vol. 29, No. 9, pp. 1117-1129, 1996 |
| | Nararyan Yoganandan, Ph.D., Stephanie A. Knowles, M.S., Dennis J. Maiman, M.D., Ph.D. and Frank A. Pintar, Ph.D. "Anatomic Study of the Morphology of Human Cervical Facet Joint," SPINE, Volume 28, No. 20, pp. 2317-2323, ©2003, Lippincott Williams & Wilkins, Inc. |

| | |
|--|------------------------|
| EXAMINER  | DATE CONSIDERED 2/3/06 |
|--|------------------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

R:\WJohnson\Patents\HORA\PO102US\IDS\PO102US.IDS.wpd (IDS1449.FRM) (2/97)